

## Electronic Acknowledgement Receipt

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| <b>EFS ID:</b>                              | 8329394   |
| <b>Application Number:</b>                  | 10655409  |
| <b>International Application Number:</b>    |   |
| <b>Confirmation Number:</b>                 | 6575  |
| <b>Title of Invention:</b>                  | Computer-implemented securities trading system with a virtual specialist function |
| <b>First Named Inventor/Applicant Name:</b> | Timothy M. Keiser   |
| <b>Customer Number:</b>                     | 63710   |
| <b>Filer:</b>                               | Christopher David Agnew/David Postolski   |
| <b>Filer Authorized By:</b>                 | Christopher David Agnew   |
| <b>Attorney Docket Number:</b>              | 98-HSX001-C5  |
| <b>Receipt Date:</b>                        | 31-AUG-2010   |
| <b>Filing Date:</b>                         | 04-SEP-2003   |
| <b>Time Stamp:</b>                          | 16:14:06  |
| <b>Application Type:</b>                    | Utility under 35 USC 111(a)   |

### Payment information:

|  |                 |
|--|-----------------|
| Submitted with Payment                   | yes             |
| Payment Type                             | Deposit Account |
| Payment was successfully received in RAM | \$180           |
| RAM confirmation Number                  | 3070            |
| Deposit Account                          | 503938          |
| Authorized User                          |                 |

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## File Listing:

| Document Number                                 | Document Description                                 | File Name                    | File Size(Bytes)/ Message Digest                     | Multi Part /.zip | Pages (if appl.) |
|---|--|------------------------------|--|------------------|------------------|
| 1   | Transmittal Letter                                   | 98-HSX001-C5_100831_IDS.pdf  | 27873<br>52bc32660d3d952f794d4afa708810e81a16d4      | no               | 3                |
| <b>Warnings:</b>                                |  |                              |  |                  |                  |
| <b>Information:</b>                             |  |                              |  |                  |                  |
| 2   | Information Disclosure Statement (IDS) Filed (SB/08) | 98-HSX001-C5_100831_1449.pdf | 74223<br>b28ca794d3059ca5f73d16d4e175800c701465      | no               | 9                |
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| 3   | Foreign Reference                                    | WO0177940.pdf                | 3682149<br>93de4853b7864353ed7ac0813e75c69dc002b8    | no               | 85               |
| <b>Warnings:</b>                                |  |                              |  |                  |                  |
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| 4   | Foreign Reference                                    | WO02025547.pdf               | 2414244<br>f97b4e751c6d68b7505ca72357d36c8c782032d17 | no               | 60               |
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| 5   | Foreign Reference                                    | WO03100567.pdf               | 1474650<br>bb48617ed1d278b778b46c9d8c7d37a48b13c281  | no               | 43               |
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| 6   | Foreign Reference                                    | WO05017700.pdf               | 932327<br>e91f0e396c7373d563b6c348b94113e233a59919   | no               | 24               |
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| 7   | NPL Documents  | CEDWARD_NPL.pdf              | 1615818<br>20045b13145c672163e1970bd7807ed96d44c9    | no               | 32               |
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| 8            | NPL Documents | CINetec_NPL.pdf                    | 142104<br>f8b43746380d796c8b26d2197c3677b81b3eaf8c    | no | 2   |
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| 9            | NPL Documents | ENG_NPL.pdf                        | 859834<br>678886e735E3c8df0db284F744e72737c7f6e51     | no | 2   |
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| 10           | NPL Documents | Film_Venture_NPL.pdf               | 387093<br>b60707c22c679dbcd89a8b4071c050428c8c4dc     | no | 5   |
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| 11           | NPL Documents | GAYLORD_npl.pdf                    | 142269<br>686b903116e8a07c0ad88c7a68032b7cc003bb      | no | 3   |
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| 12           | NPL Documents | GOLIATH_NPL.pdf                    | 63417<br>6f6c9b1751de88838b162bb907ee4a2d574306d      | no | 1   |
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| 13           | NPL Documents | Lee_NPL.pdf                        | 4216786<br>993dc3b6c168902db6e97b07182e1aef917159dd   | no | 140 |
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| 14           | NPL Documents | PCTUS200501276.pdf                 | 375315<br>d2e187183f1617566df1bedd957061e7faed5fbb6d9 | no | 9   |
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| 15           | NPL Documents | PCTUS200619316.pdf                 | 315387<br>dc64181de337f3287a73a5acbb49f62e2079e65b    | no | 6   |
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| 16           | NPL Documents | PCT-US07-09383_IPER_10-22-2008.pdf | 342102<br>15e546e07581088073205d37808d53e21b6d0       | no | 6   |
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| 17                  | NPL Documents | PCT-US07-09389_IPER_10-22-2008.pdf  | 241687<br>3905e52c0725e0c4f17979c77b2b4a503207b2b     | no | 5  |
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| 18                  | NPL Documents | PCT-US04-09796_07-21-2008.pdf   | 373116<br>dc2f70004ee0a6740648a0c07b1e7101019014af5d3 | no | 7  |
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| 19                  | NPL Documents | PCT-US0409798_09-08-2005.pdf  | 58791<br>03c4b27248544c703c0cfae0541e2bc2dbb944.      | no | 1  |
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| 20                  | NPL Documents | 09660296_000913_APP.pdf   | 1609293<br>181c0e0db1f2c186cc7b623f5809f140ee7080f    | no | 38 |
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| 21                  | NPL Documents | Mukta_arts_ltd.pdf  | 1016203<br>619e13dc3aa50520e78d1803924681947a660b3    | no | 20 |
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| 22                  | NPL Documents | Martinez_Barbara_A_New_Craze_for_March.pdf  | 55882<br>0c53d76e90b5c0ab48f3ca20c1c182b139fd339      | no | 1  |
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| 23                  | NPL Documents | 09-660296_OAs.pdf   | 4330091<br>0a6eb5a60ba08bd1b718141787767e077137d      | no | 97 |
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| 24                  | NPL Documents | Film_Finances_Inc_The_World_Leader_in_Completion_Guarantees_Internet_Pring-Out_1pg_dated_051123.pdf | 146103<br>277b3a2c139815b7f1815526da1546bc07f19710    | no | 1  |
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| 25                  | NPL Documents | 05-HSX001CIP_100401_3mo_Non-Final_Office_Action.pdf   | 679149<br>59293902c0996c79adbf12f89cc75c0f03981990b   | no | 20 |
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| 26                  | NPL Documents | 05-<br>HSX001 CIP_050725_app_1118<br>9262.pdf   | 3826294<br>bfe02a1d83b6e0d4289503c7a4f1811c49<br>99a21  | no | 108 |
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| 27                  | NPL Documents | 05-<br>HSX001 CIP_080111_Office_Act<br>ion.pdf  | 896656<br>b08f5186dc0e12ac8172e49088c523e7ef<br>32b4d   | no | 23  |
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| 28                  | NPL Documents | 05-<br>HSX001 CIP_100226_Notice_of<br>_Panel_Decision_from_Pre-<br>Appeal_Brief_Review.pdf  | 76769<br>3e1c04d9d81607542930117887e65c596a1<br>7ec20   | no | 2   |
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| 29                  | NPL Documents | 98-HSX001-<br>CIP3_Application_As_Filed.pdf   | 3556731<br>2e852db18edab01d466a0c6eb4d401205<br>a8106   | no | 83  |
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| 30                  | NPL Documents | 98-HSX001-<br>CIP3_100810_3mo_Non-<br>Final_Office_Action.pdf                               | 1866639<br>1d7b1b4d97b71638117654473c3e5e1ebb<br>2ee035 | no | 48  |
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| 31                  | NPL Documents | 98-HSX001-<br>CIP3_100603_Notice_of_Panel<br>_Decision_from_Pre-<br>Appeal_Brief_Review.pdf | 79597<br>46201ba365b30cda0f5a2de01c947031787<br>705e    | no | 2   |
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| 32                  | NPL Documents | 98-HSX001-<br>CIP4_Application_As_Filed.pdf   | 3335121<br>8bd8641024e3ab7e8c98b4e46d70310f6<br>d4345   | no | 79  |
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| 33                  | NPL Documents | 98-HSX001-<br>CIP4_100607_Notice_of_Panel<br>_Decision_from_Pre-<br>Appeal_Brief_Review.pdf | 77675<br>ade0d862732ce379c2b24722c3b4918107<br>98ba7f   | no | 2   |
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| 34                  | NPL Documents | 03-6164_Application_As_Filed<br>_from_PAIR.pdf  | 1724403<br>1c1cd9c557480782b4b19998d298c0f95<br>7a03    | no | 36  |
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| 35                  | NPL Documents | 10822484_allowance_prebrief_oa2004.pdf                        | 929064<br>d9c5d86c57d8bc2ae4218d090e5c6c5e2e4d3ae   | no | 25 |
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| 36                  | NPL Documents | 03-6157_040414_Application_As_Filed_Plus_Prelim_Amendment.pdf | 1347253<br>58531e2a2d4d34a4d847c6c5752a0d4d77c70ea  | no | 33 |
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| 37                  | NPL Documents | 04-6191_080221_Office_Action.pdf                              | 683145<br>6979bb63d1f5559dc549994854805a254c0       | no | 21 |
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| 38                  | NPL Documents | 04-6191_090305_Notice_of_Allowance.pdf                        | 281008<br>a0a0fbc51f4371780979b979bdf58321388d0dc   | no | 7  |
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| 39                  | NPL Documents | 04-6191_090416_Notice_of_Allowability.pdf                     | 95468<br>d8d786caef754b55788904f43cecd678b500       | no | 3  |
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| 40                  | NPL Documents | 04-6191_090512_Supplemental_Notice_Of-Allowance.pdf           | 198666<br>dfaa0979b5cecd4d3bc57d7193d43b1699c1      | no | 7  |
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| 41                  | NPL Documents | 04-6191_081104_3mo_Final_Office_Action.pdf                    | 693342<br>54da0387187af646e061a073d50170b4d23acdd86 | no | 19 |
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| 42                  | NPL Documents | 04-6191_090611_Supplemental_Notice_of-Allowance.pdf           | 123690<br>c011e059eb57ea246dc08ba6d0c1335059782     | no | 4  |
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| 43                  | NPL Documents | 04-6191_090702_Supplemental_Notice_of-Allowability.pdf        | 78833<br>102d879b29e094e06549156dc9e30175b97b       | no | 2  |
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| 44                  | NPL Documents | 04-6197_050721_Application_<br>as_published.pdf                                  | 166082<br>1602da5340a15ee5544660a810993ebf5<br>c902     | no | 16 |
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| 45                  | NPL Documents | 04-6197_080319_PTO_Office_<br>Action.pdf   | 1078951<br>285c0012019a6a0177e402e3426f3026c485<br>38   | no | 36 |
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| 46                  | NPL Documents | 04-6197_090303_Advisory_Act<br>ion.pdf   | 87798<br>e11948c2840c16488c83a4efcb1aa24b613<br>a06     | no | 2  |
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| 48                  | NPL Documents | 04-6197_100226_Supplementa<br>l_Notice_of_Allowability.pdf                       | 158462<br>8897091d45ca8bc3423d7d65375487a82a<br>be560f  | no | 5  |
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| 49                  | NPL Documents | 04-6197_080220_Office_action<br>.pdf   | 363007<br>e98c3048dc7699b653c177853064eb333c<br>482e    | no | 13 |
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| 50                  | NPL Documents | 04-6197_081215_Final_Office_<br>Action.pdf                                       | 466921<br>981c62b1c662d4ccce5885891edaf1476618<br>cbb17 | no | 17 |
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| 51                  | NPL Documents | 04-6197CIP_050922_Applicatio<br>n_as_published.pdf                               | 185691<br>a864ec8f201fcb28918ac32075eedbb71b5c<br>885   | no | 18 |
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| 52                  | NPL Documents | 04-6197CIP_080331_Final_Off<br>ce_Action.pdf                                     | 345330<br>7b4348653511803559921438f81405d93<br>d7f710   | no | 13 |
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| 53                  | NPL Documents           | 04-6197CIP_081223_Final_Office_Action.pdf                             | 866309<br>80213b09a44c423ba6f726d8c490a021c4956a6  | no | 33 |
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| 54                  | NPL Documents           | 04-6197CIP_091125_Notice_of_Allowance_and_Fees_Due.pdf                | 835364<br>00b0c7511d0172710ba084576c05a491088605   | no | 22 |
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| 55                  | NPL Documents           | 04-6197CIP_090430_Notice_of_Panel_Decision_from_Pre-Appeal_Review.pdf | 75807<br>44b4b0f135706c51ab438c5c6a8096f7c449a71d0 | no | 2  |
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| 56                  | NPL Documents           | 04-6197CIP_100301_Supplemental_Notice_of-Allowability.pdf             | 116209<br>6015aa26ba07a4d940a70851a0134110ac052a00 | no | 3  |
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| 57                  | NPL Documents           | 04-6196_050721_Application_as_published.pdf                           | 171924<br>807a164ce5ce80f375db22172936345a7a5000   | no | 16 |
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| 58                  | NPL Documents           | 04-6196_080220_Office_Action.pdf                                      | 713623<br>225ca087158f19a002559c8b61742508b3a0530  | no | 23 |
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| 60                  | NPL Documents           | Mcabe_NPL.pdf   | 1390074<br>9ba3d072d44102e36a70071097575d66792051  | no | 9  |
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| 61                  | Fee Worksheet (PTO-875) | fee-info.pdf  | 30312<br>8a4813d4b51a78a2152290a0097a201f0c406d4   | no | 2  |
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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.